

# STATE UNIVERSITIES CIVIL SERVICE SYSTEM

**Sunnycrest Center**  
**1717 Philo Road, Suite 24**  
**Urbana, Illinois 61802-6099**



**James D. Montgomery**  
*Merit Board Chair*  
**Lewis T. (Tom) Morelock**  
*Executive Director*

Date Mailed

Name of Institution President

President

Institution Name

Name of applicable Vice President

Vice President, Business and Finance

Institution Name

Name of applicable HR representative

Associate Vice President for Human Resources

Designated Employer Representative

Institution Name

Name of Internal Auditor

Title

Institution Name

Name of Merit Board Chair

Merit Board Chair

State Universities Civil Service System

Name of applicable MBM

Merit Board Member

State Universities Civil Service System

The State Universities Civil Service System respectfully submits the Final Audit Report of the Biennial Institutional Compliance Audit conducted at the **Institution Name**. The audit period tested was **begin date** through **end date**. This report is intended to communicate the final material findings, recommendations and corresponding institutional responses formulated through a comprehensive human resource compliance and operational audit.

On behalf of the audit staff, we thank **Institutions Name** and their human resource staff for a very productive audit experience. If there are any questions or a personal briefing on any item is desired, please call Lucinda M. Neitzel (217) 278-3150 ext. 236.

Lewis T. (Tom) Morelock  
Executive Director

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# Institution Name

## Final Audit Report

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### State Universities Civil Service System Compliance Audit

**Date Mailed**

Audit Period  
**Date to Date**

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Prepared by:

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Lucinda M. Neitzel  
Assistant Director, Operations and Audit Division

**Institution Name**

**Final Audit Report**

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**Institution Name****Final Audit Report****Introduction****PURPOSE**

The State Universities Civil Service System was created as a separate entity of the State of Illinois and is under the control of the University Civil Service Merit Board as set forth in Section 36b(3) of the State Universities Civil Service Act (Act) (110 ILCS 70/36b(3)). The purpose of the State Universities Civil Service System is to establish a sound program of personnel administration for its constituent employers (110 ILCS 70/36b(2)). To achieve this purpose, the Merit Board has been given a broad range of statutory powers and duties, which include the power to make rules to carry out the purpose of the State Universities Civil Service System and to appoint an Executive Director to administer the Act (110 ILCS 70/36d(11) and (12)).

As part of its statutory power, the Merit Board has promulgated rules that delegate to the Executive Director the authority and responsibility for conducting “ongoing audit programs of all Civil Service operations at all places of employment for the purpose of assuring compliance with the [Act (110 ILCS 70/36b et seq.)] and [Part 250 of the Illinois Administrative Code (Code) (80 Ill. Adm. Code 250)] and for improving the programs of personnel administration of its constituent employers” (80 Ill. Adm. Code §250.140(c)).

This report communicates the final outcome of a comprehensive human resource operational audit, which included an on-site evaluation that was conducted **Date(s) onsite**. Exit conferences **were** conducted on **Date(s) exit conference(s) conducted** and provided an opportunity for the Employer to discuss both the Material and Non-material findings contained in the initial Draft Audit Report. Upon completion of the exit conferences and submission of the Institutional Corrective Action Plan, a Final Audit Report (Material Findings only) is sent to the Employer, and a Supplemental Report (Non-material Findings) is sent to the campus/agency Human Resource Office for internal use.

**OVERVIEW**

The following Human Resource activities were reviewed and utilized in identifying the Material (Final Audit Report) and Non-material Findings (Supplemental Report):

- **Assignment of Positions to Classes**

The Auditor completes a review of selected job descriptions for timely updates, proper administration, and correct assignment of position classifications. Additional desk audits of selected positions are conducted onsite for appropriateness of position classifications. There is also an evaluation of the Employer’s position audit process and corresponding determinations.

- **Compensation Programs**

The Auditor completes an analysis of the Employer's use of pay rates and pay ranges, as approved by the Merit Board. An overall evaluation is then conducted of the Employer's compensation program and initiatives to meet requirements of pay equity within the Employer's market area.

- **Examination Program**

The Auditor conducts a review of pre-employment testing operations. This includes test administration, admission procedures of applicants to examinations, license and certification verifications, scheduling, security, and register management.

- **Administration of Employment and Separation Procedures**

The Auditor reviews the Employer's business processes and procedures related to the employment cycle, including pre-employment activities, probationary and status employment, and employment separation programs. There is also an assessment of the Employer's utilization and monitoring of non-status appointments.

- **Administration and Employment Protocols of Positions Exempt from Civil Service Guidelines**

The Auditor completes a review of the employment protocols and assigned responsibilities for Principal Administrative Appointments. This review is conducted to assure compliance with recognized exemption authorization procedures. The Employer's exemption forms and related position descriptions are reviewed and selected incumbent interviews are conducted for validation of approved exemptions. The audit process also includes a review of the Employer's administrative procedures related to these appointments and their approved exemption status.

- **General Review of the Employer's Human Resource Program**

The Auditor completes a general review of the Employer's human resource programs with respect to effectiveness, efficiency and levels of communication to constituencies. There is also an assessment of the recognition and interaction of human resource programs within the Employer's faculty, administrative and support staff employee groups. The impact of new technology on the recordkeeping and processing of information is also an element for review.

- **Other Follow-up Items from Previous Audit**

Other follow-up items from previous audits, as well as other matters deemed necessary and appropriate, may have been reviewed and submitted as additional audit topics.

The following staff members from the System Office, Operations and Audit Division, were directly responsible for conducting various aspects of the audit:

**Lucinda Neitzel, Assistant Director, Operations and Audit Division**

**Danielle Routh, Program Coordinator, Operations and Audit Division**

**Institution Name****Final Audit Report****Executive Summary****YEAR ENDED**

The compliance testing performed during this examination was conducted in accordance with State Universities Civil Service Act (110 ILCS 70/36b et seq.), Part 250 of the Illinois Administrative Code (Code) (80 Ill. Adm. Code 250), State Universities Civil Service Procedures Manuals, applicable University/agency policies/procedures, and auditing standards.

**SUMMARY OF MATERIAL FINDINGS****Number of****This Report**

Findings

Repeated findings from previous audit®

**SCHEDULE OF MATERIAL FINDINGS****Item****Number****Page****Description**

SIUC FY09-01		FINDINGS (STATE UNIVERSITIES CIVIL SERVICE ACT) Finding title
SIUC FY09-02		FINDINGS (ILLINOIS ADMINISTRATIVE CODE) Finding title
SIUC FY-09-03		FINDINGS (SUCSS PROCEDURE MANUALS) Finding title

**Institution Name****Final Audit Report****Material Findings, Recommendations, Institutional Corrective Action Plan and  
Additional Auditor Comments****SIUC FY09-01      First Material Finding Title****(This paragraph comes from the Criteria/Standards section of the DAR****This paragraph comes from the Conditions/Facts section of the DAR****This paragraph comes from the Cause section of the DAR****This paragraph comes from the Effect section of the DAR****If it's a repeat finding then state:**

This was a repeat finding from the previous audit conducted **Dates of last on-site audit,** *[Finding Code FYXX – page ?]*.

**The following is the Recommendation section of the DAR:****Recommendation:****Institutional Corrective Action Plan—provided by **Name, Director of Human Resources******This paragraph is the Institutions response to this finding****Additional Auditor Comments *[Only to be used if the Auditor does not agree with the administrative response].***